



RIDHI SHARE BROKERS PRIVATE LIMITED

Regd. Office: A-40 A, Bajaj Nagar, Opposite Gandhi Nagar Railway Station, Jaipur-302015 (Rajasthan)

Ph: +91-7300081118, Email: rsbpl72@yahoo.co.in, CIN: U67120RJ2007PTC025461

Policy on Use of Facsimile or Scanned Signatures for Physical Contract Notes

1. Introduction

Ridhi Share Brokers Private Limited ("RSBPL") is committed to issuing accurate and timely contract notes to its clients in compliance with all regulatory requirements. To enhance operational efficiency and streamline the issuance of physical contract notes, RSBPL may utilize facsimile or scanned signatures. This policy outlines the procedures and controls governing the use of facsimile or scanned signatures on physical contract notes, specifically referencing the guidelines issued by the National Stock Exchange of India Ltd. (NSE) through Circular Download Reference No: NSE/INSP/32524 dated June 12, 2017, as well as other relevant regulations from SEBI and other exchanges.

2. Objective : The primary objective of this policy is to:

- Ensure the authenticity, integrity, and legal validity of physical contract notes issued with facsimile or scanned signatures.
- Establish robust controls to prevent the misuse or unauthorized use of facsimile/scanned signatures.
- Define the roles and responsibilities associated with the creation, use, and management of facsimile/scanned signatures.
- Ensure full compliance with NSE Circular Download Reference No: NSE/INSP/32524, SEBI regulations, and other relevant exchange guidelines regarding the use of facsimile/scanned signatures on physical contract notes.

3. Scope and Applicability

This policy applies to all physical contract notes issued by Ridhi Share Brokers Private Limited, across all segments of the exchanges where it operates, where facsimile or scanned signatures are utilized. This policy is binding on all authorized personnel involved in the generation and issuance of such contract notes.

4. Policy on Use of Facsimile/Scanned Signatures



RIDHI SHARE BROKERS PRIVATE LIMITED

Regd. Office: A-40 A, Bajaj Nagar, Opposite Gandhi Nagar Railway Station, Jaipur-302015 (Rajasthan)

Ph: +91-7300081118, Email: rsbpl72@yahoo.co.in, CIN: U67120RJ2007PTC025461

Ridhi Share Brokers Private Limited may affix facsimile or scanned signatures on physical contract notes issued to its clients.

5. Procedure and Controls (as per NSE Circular NSE/INSP/32524)

In compliance with NSE Circular NSE/INSP/32524, the following procedures and controls will be implemented:

- **Authorization:** The Board of Directors will authorize specific individuals to use their facsimile/scanned signatures on contract notes. Such authorized signatories must be explicitly approved by the Board for use on contract notes.
- **Secure Incorporation:** The facsimile/scanned signature of authorized signatories will be securely incorporated into RSBPL's back-office software used for generating and printing physical contract notes.
- **Document Generation:** Facsimile/scanned signatures will only be affixed to documents generated through RSBPL's back-office software.
- **Signature Encryption and User Rights:** The signatures of authorized signatories will be stored in an encrypted format. User rights for accessing and utilizing this utility will be restricted to designated officials at the Head Office. No branches or franchisees shall have access to this utility.
- **Printing of Signatures:** Facsimile/scanned signatures will be printed on physical contract notes at the time of printing or after the content is printed, ensuring that blank contract notes are never pre-signed.
- **Secure Storage:** The facsimile/scanned signatures will be securely stored and maintained by a designated official at the Head Office, and will not be distributed to unauthorized personnel.
- **Changes in Authorized Signatories:** In case of changes in authorized signatories, the Compliance Officer will inform the IT team to disable existing signatures and incorporate new ones after due Board approval. If an authorized signatory leaves the organization or has their authorization revoked, their signature's use must cease immediately.
- **Contingency for Technical Issues:** In case of technical issues preventing the use of facsimile/scanned signatures, all physical contract notes will be manually signed by the authorized signatories.



RIDHI SHARE BROKERS PRIVATE LIMITED

Regd. Office: A-40 A, Bajaj Nagar, Opposite Gandhi Nagar Railway Station, Jaipur-302015 (Rajasthan)

Ph: +91-7300081118, Email: rsbpl72@yahoo.co.in, CIN: U67120RJ2007PTC025461

- **Verification of Authenticity:** RSBPL will implement appropriate systems to verify the genuineness of physical contract notes issued with facsimile/scanned signatures. In case of misuse, the responsibility to prove the contract note's genuineness rests with RSBPL.
- **Audit Trail:** A detailed audit trail of the use of facsimile/scanned signatures will be maintained and made available for inspection by the Compliance Officer, Internal Auditor, and/or regulators.

6. Responsibility

- **Board of Directors:** The Board of Directors will oversee the implementation and adherence to this policy and will approve the authorized signatories for contract notes.
- **Compliance Officer:** The Compliance Officer is responsible for ensuring compliance with this policy, NSE Circular NSE/INSP/32524, and all related regulations.
- **IT Department:** The IT Department is responsible for the technical implementation and maintenance of the back-office system and the secure storage of facsimile/scanned signatures.
- **Operations Department:** The Operations Department is responsible for the generation and issuance of physical contract notes and ensuring the adherence to the procedures outlined in this policy.

7. Review of Policy

This policy will be reviewed periodically, at least annually, or as needed due to changes in regulations, technology, or business requirements. Any modifications to this policy will require written approval from the Board of Directors.

8. Disciplinary Action

Any misuse, tampering, or misconduct related to facsimile/scanned signatures by employees or authorized personnel will result in disciplinary action as determined by the Board of Directors, in addition to any penalties or actions imposed by regulatory authorities.

Approved by the Board of Directors of RIDHI SHARE BROKERS PRIVATE LIMITED on [10 JANUARY 2025].